

Appendix

Measures in Australia

Measure	
Events and gatherings	<p><u>First Phase (early March – 8 May)</u></p> <p>The National Cabinet decided to impose a ban on non-essential travel, organized public gatherings of > 500 people (PM, 13.03.20) and indoor gatherings > 100 people (PM, 18.03.20) in early March. In late March, it regulated more details on limits on gatherings as well as mitigation measures and exemptions (PM, 20.03.20), before restricting indoor and outdoor gatherings to 2 persons (PM, 29.03.20). In short, decisions on events and gatherings were coordinated vertically between the federal government and the states.</p> <p>→ Coordination level 3</p> <p><u>Second Phase (8 May – End July)¹</u></p> <p>The easing of restrictions on events and gatherings was also coordinated vertically via the National Cabinet. The National Cabinet approved conditions and principles for an easing of restriction measures (PM, 16.04.20, 1.05.20), but did not decide on specific relaxations. On 8 May 2020, National Cabinet adopted a three-step plan to ease restrictions – called “Roadmap to a COVIDSafe Australia”. National Cabinet updated the Roadmap in June following advice by the Australian Health Protection Principals Committee (12.06.20).² The Roadmap served as a guidance to the states. The states would decide on the timeframe (though a minimum of 3 weeks between each step was suggested) (PM, 5.+8.05.20).³</p> <p>→ Coordination level 2</p>
Restaurants and shops	<p><u>First Phase</u></p> <p>Mix of non-coordination and vertical coordination: The Australian Capital Territory (ACT), New South Wales (NSW), and Victoria (VIC) decided to shut down all non-essential services, including retail stores, even before the National Cabinet reached a decision on restaurants and bars in late March (ABC, 22.03.20). These states hence decided unilaterally to close restaurants and shops.</p> <p>→ coordination level 0</p> <p>Subsequently, National Cabinet agreed to close bars and restaurants (except for take away), clubs, gyms and pools, cinemas and to limit appointments at hairdressers and barbers to 30 minutes (lifted briefly after) and to impose a 4sqm rule on them (PM, 22.+24.03.20). It decided not to close supermarkets and other essential shops (ABC, 23.03.20; PM, 20.03.20) and imposed restrictions on certain types of businesses. These decisions were thus coordinated vertically.</p> <p>→ Coordination level 3</p>

¹ On 8 July, Victoria announced restrictions on gatherings, events, restaurants, and bars in Melbourne and Mitchel Shire that were subsequently expanded. There is no evidence that these decisions were coordinated and so were made unilaterally by that state. See <https://www.vic.gov.au/coronavirus-covid-19-restrictions-victoria> [access: 16.09.20].

² The 100-person limit on indoor gatherings in step 3 was replaced with physical distancing and hygiene rules. Outdoor mass gatherings would be reallocated for <40.000 people under certain conditions (PM 12.06.20).

³ For timeline of state decisions under the Roadmap, see <https://www.news.com.au/lifestyle/health/health-problems/coronavirus-australia-when-stage-one-restrictions-will-lift/news-story/9598ff0b72d73b68db1b532fbb33d323> [access: 14.09.20]

	<p>However, while National Cabinet did not decide to close retailers, other states followed ACT, NSW, and VIC and closed retail stores without coordinating this decision with the other states or the federal government.</p> <p>→ Coordination level 0</p> <p><u>Second Phase</u></p> <p>Vertical coordination: Step 1 of the National Cabinet's "Roadmap to a COVIDSafe Australia" (PM, 8.05.20) included the reopening of restaurants and retail stores. The Roadmap served as a guidance to the states. Moreover, the timing would be decided by each state.⁴ Most states implemented the Roadmap, but at their own discretion. Western Australia (WA), for example, had a four-phase roadmap.</p> <p>→ Coordination level 2</p>
Schools and higher education institutions	<p><u>First Phase</u></p> <p>We did not find evidence of coordination. The Education Council did not discuss schools and the PM emphasized that decisions on schools are a state jurisdiction (The Australian, 6.07.20). The National Cabinet agreed that schools should remain open but also acknowledged that the states made their own decisions (PM, 27.03.20)⁵. The variety of decisions in each state on public schools also suggests that decisions on schools were not coordinated (The Guardian, 30.03.20)⁶. Universities moved to online teaching without specific government instructions (SMH, 3.05.20).</p> <p>→ Coordination level 0</p> <p><u>Second Phase</u></p> <p>Decisions to return to face-to-face teaching were made by each state individually.⁷ Again, we did not find evidence of coordination. In fact, the federal government and the states even disagreed on the return to face-to-face teaching with the former pushing for schools to remain open, and, after most states decided to move to remote teaching, a quick return to classroom teaching, and the latter taking more cautious approaches (ABC, 4.05.20). The decision whether to resume face-to-face teaching was made by universities themselves.</p> <p>→ Coordination level 0</p>

⁴ See footnote 3.

⁵ National Cabinet adopted COVID-19 National Principles for School Education to inform decision-making, however (PM 16.04.20). The Education Council endorsed these principles (see Education Council, 7.04.20). The National Principles are available at: <https://www.dese.gov.au/covid-19/schools/national-principles-for-school-education> [access: 20.09.20].

⁶ WA, for example, decided to encourage parents to keep the children at home, unless they cannot care for them, and that schools would provide supervision only after 6 April and until the end of term (ABC, 26.03.20a). The following term would be a combination of face-to-face and distance and online learning. SA decided to go student free and to only offer online learning until the end of term and during the new term (ABC, 26.03.20b). Schools remained open for children of essential workers only. VIC closed schools right before school holidays in March and moved to online learning after the school break (ABC, 23.03.20). Schools remained open in NSW but the state government encouraged parents not to send their children to school (ABC, 23.03.20). Some states decided not to limit face-to-face teaching at all (ABC, 4.05.20).

⁷ VIC initially decided not to return to face-to-face teaching (classroom teaching partially resumed after 26 May) and TA asked children to stay at home after the school holidays. ACT, NSW, and QLD chose a phased return to face-to-face teaching in May. WA and SA encouraged children to attend face-to-face teaching after school break. NT opened all schools (ABC, 4.05.20). See also: <https://www.mediastatements.wa.gov.au/Pages/McGowan/2020/05/All-WA-students-to-return-to-school-from-next-week.aspx> [access: 10.09.20]

Personal protective equipment (PPE)	<p><u>First Phase</u> As part of its COVID-19 National Health Plan announced in early March 2020, the federal government decided to procure additional PPE for the National Medical Stockpile (NMS).⁸ The FG has provided PPE to the states from the NMS, upon their request (SMH, 10.08.20). Therefore, we conclude that the procurement (and distribution) of PPE was coordinated (vertically). The federal government seemed to have worked together with some states (e.g., Victoria) to identify needs and to secure additional supplies domestically and internationally (The Guardian, 17.03.20). We did not find evidence of bulk purchases of the federal government with the states or agreement on the details of procurement by the federal government, however. → Coordination level 1</p> <p><u>Second Phase</u> Arrangements did not change.</p>
Ventilators	<p><u>First Phase</u> Even though ventilators are usually not part of the NMS, the federal government procured ventilators for the NMS and distributed them to the states upon their request and based on need (ABC, 9.04.20). Therefore, we conclude that the procurement of ventilators was coordinated (vertically). In securing additional ventilators, the federal government seemed to have worked together with the states (ABC, 14.04.20). We did not find evidence of bulk purchases of the federal government with the states or agreement on the details of procurement by the federal government, however. → Coordination level 1</p> <p><u>Second Phase</u> Arrangements did not change.</p>
Vaccine	<p><u>First Phase</u> No decisions</p> <p><u>Second Phase</u> The federal government signed deals with pharmaceutical companies and with the WHO-backed COVAX initiative to secure access to a promising coronavirus vaccine (BBC, 7.09.20; Department of Health, 23.09.20). We did not find evidence that these deals were coordinated with the states. → Coordination level 0</p>

Measures in Canada

Measure	
Events and gatherings	<p><u>First Phase (early March – early May)</u> Although all of them decided to limit or ban events and gatherings, each province introduced these restrictions unilaterally. We did not find evidence</p>

⁸ The AHPPC consisting of federal and state health officers advises on managing the NMS. The federal government releases supply upon request of the states. The latter also provide input on policy regarding the NMS. For more information on the operation of the NMS, see ABC (28.02.20) and <https://www.anao.gov.au/work/performance-audit/planning-and-governance-covid-19-procurements-to-increase-the-national-medical-stockpile> [access: 9.02.21]

	<p>that events and gatherings were discussed by first ministers or coordinated in any other way.⁹ → Coordination level 0</p> <p><u>Second Phase (early May – End July)</u> We did not find evidence that decisions on whether and when to ease restrictions on events and gatherings were coordinated. There was merely a vertical agreement on principles to <i>inform</i> decision on relaxing the measures (FM, 28.04.20). → Coordination level 0</p>
Restaurants and shops	<p><u>First Phase</u> All provinces closed restaurants (except for take-away) and non-essential shops. However, each province did so autonomously. We did not find evidence that restaurants and shops were discussed by first ministers or coordinated in any other way.¹⁰ → Coordination level 0</p> <p><u>Second Phase</u> We did not find evidence that decisions on whether and when to reopen restaurants and shops were coordinated. Consequently, we conclude that they were made unilaterally by each province. → Coordination level 0</p>
Schools and higher education institutions	<p><u>First Phase</u> Each province decided on its own to close schools and move to online teaching. We did not find evidence that schools or higher education institutions were discussed by first ministers or coordinated in any other way.¹¹ Universities decided to end classroom teaching voluntarily, i.e. without government instructions. → Coordination level 0</p> <p><u>Second Phase</u> We did not find evidence that decisions on schools and higher education institutions were coordinated. Several provinces (e.g., New Brunswick, Saskatchewan) decided that there would be no classroom teaching for the remainder of the school year while Quebec and British Columbia, for instance, reopened some schools in May and June, respectively.¹² → Coordination level 0</p>
Personal protective equipment (PPE)	<p><u>First Phase</u> With several provinces experiencing shortages,¹³ the FG announced investments to support procurement and production of PPE, which included bulk purchases with the provinces and territories (PM, 31.03.20, 9.04.20)¹⁴. Moreover, it provided funds to the provinces to help them procure PPE and</p>

⁹ See also <https://ipolitics.ca/2020/04/09/covid-19-crisis-sheds-light-on-blind-spot-of-canadian-federalism-interprovincial-collaboration/> [access: 24.09.20]. For an overview of the decisions in each province, see <https://www.mccarthy.ca/en/insights/articles/covid-19-emergency-measures-tracker> [access: 23.09.20].

¹⁰ See footnote 9.

¹¹ See footnote 9.

¹² See <https://www.mccarthy.ca/en/insights/articles/covid-19-emergency-measures-tracker>, see also <https://www.cbc.ca/news/canada/british-columbia/bc-back-to-school-june-1-1.5590497> [access: 24.09.20].

¹³ <https://munkschool.utoronto.ca/covid-19-federalism-disparate-government-responses-in-canada/> [access: 23.09.20]

¹⁴ See also <https://www.canada.ca/en/public-health/services/diseases/2019-novel-coronavirus-infection/canadas-reponse/government-canada-takes-action-covid-19.html#a2> and <https://www.tpsgc-pwgsc.gc.ca/comm/aic-scr/provisions-supplies-eng.html> [access: 21.09.20].

	<p>collaborated with them to identify needs (PM, 11.03.20, 2.04.20). Canada operates a National Emergency Strategic Stockpile (NESS) from which the provinces and territories also requested supplies. The NESS complements provincial stockpiles.¹⁵ In short, the procurement of PPE was coordinated vertically. Besides, there were also instances of horizontal coordination, for example when Alberta sent PPE to British Columbia, Ontario, and Quebec (Radio Canada, 11.04.20).</p> <p>→ Coordination level 3</p> <p><u>Second Phase</u></p> <p>Procurement was also coordinated vertically in the second phase. The FG and the provinces signed an <i>FPT Safe Restart Agreement</i> that concerned inter alia the purchase and funding of PPE (FM, 16.07.20).¹⁶ The FG continued to procure PPE by ordering in bulk on their behalf and distributed equipment to the provinces (PM, 2.06.20). PPE was discussed several times at the many First Ministers' calls held during the pandemic (e.g., PM, 7.05., 21.05., 4.06.20), and the prime minister updated premiers on procurement of PPE by the federal government (e.g., PM, 28.05.20).</p> <p>→ Coordination level 4</p>
Ventilators	<p><u>First Phase</u></p> <p>The procurement of ventilators was also coordinated vertically. The federal government worked with the provinces to identify their needs; ordered in bulk on their behalf to supplement provincial supplies; and distributed ventilators via the NESS (PM, 31.03.20, 9.04.20)¹⁷. Alberta provided Ontario and Quebec with additional ventilators (Radio Canada, 11.04.20, 22.04.20), meaning that we also observe some horizontal coordination.</p> <p>→ Coordination level 3</p> <p><u>Second Phase</u></p> <p>The federal government continued to collaborate with the provinces and territories to identify needs and procure ventilators by ordering in bulk on their behalf, i.e. vertical coordination continued (CBC, 2.06.20).¹⁸</p> <p>→ Coordination level 3</p>
Vaccine	<p><u>First Phase</u></p> <p>No decisions.</p> <p><u>Second Phase</u></p> <p>The federal government signed deals with several pharmaceutical companies to secure access to a potential COVID-19 vaccine (e.g., Public Services and Procurement Canada, 22.09.20). We did not find evidence of coordination.</p> <p>→ Coordination level 0</p>

¹⁵ See also <https://www.cbc.ca/news/politics/ppe-pandemic-covid-coronavirus-masks-1.5645120> [access: 24.09.20].

¹⁶ See also <https://www.canada.ca/en/intergovernmental-affairs/services/safe-restart-agreement.html> [access: 16.02.20].

¹⁷ See also <https://www.canada.ca/en/public-health/services/diseases/2019-novel-coronavirus-infection/canadas-reponse/government-canada-takes-action-covid-19.html#a2> and <https://www.tpsgc-pwgsc.gc.ca/comm/aic-scr/provisions-supplies-eng.html> [access: 21.09.20]

¹⁸ <https://www.tpsgc-pwgsc.gc.ca/comm/aic-scr/provisions-supplies-eng.html> [access: 16.02.21]

Measures in Germany

Measure	
Events and gatherings	<p><u>First Phase (16 March – 15 April)</u> Vertical coordination: In March the federal government (FG) and the Länder coordinated a ban on events, first on larger (up to 1000 participants) and then on all events, and gatherings as well as contact restrictions. (federal government, 12.03.20, 22.03.20). → Level 3 coordination</p> <p><u>Second Phase (15 April – End July)</u> Despite a vertically coordinated decision to prolong the ban on large events (>1000 participants) in April (federal government, 15.04.2020), contact restrictions as well as permissions for smaller events were agreed on to be decided by the Länder themselves starting in May (federal government, 6.05.20) The Länder subsequently eased their restrictions on social events on their own. For example, Baden-Württemberg allowed private parties with up to 99 people (Baden-Württemberg, 9.06.20). Thuringia announced in late May that it would abolish all social distancing measures – which it did on 13 June. Brandenburg follow suit in mid-June (Tagesschau, 13.06.20). At the same time, a failsafe mechanism was agreed on which state that if new infections would rise above a certain threshold, the Länder would take further measures. Overall, only optional measures were agreed on in this phase and the Länder should decide on which and when to implement. → Level 2 coordination</p>
Restaurants and shops	<p><u>First Phase</u> The closure of restaurants and non-essential shops was coordinated vertically between the FG and the Länder in March (federal government, 16.03.20, 22.03.20). → Level 3 coordination</p> <p><u>Second Phase</u> In addition to a vertically coordinated decision on which shops to open and when, (federal government, 15.04.20), from which some Länder deviated (Tagesschau, 17.04.2020), at the intergovernmental meeting on 6 May, it was decided that the Länder would themselves decide on the opening of restaurants, hotels and other shops (federal government, 6.05.20). At the same time, a failsafe mechanism was agreed on which state that if new infections would rise above a certain threshold, the Länder would take further measures. Overall, only optional measures were agreed on in this phase and the Länder should decide on which to implement and when. → Level 2 coordination</p>
Schools and higher education institutions	<p><u>First Phase</u> On 13 March, as first Land the Saarland decided to close primary and secondary schools. The other Länder followed quickly (Tagesschau, 14.03.20). These decisions were coordinated vertically at the meetings of the chancellor and the premiers (federal government, 12.03.20) and horizontally at the Conference of Education Ministers (KMK, 13.03.20), but only named as one option on which Länder could decide when and whether to implement. → Level 2 coordination</p> <p><u>Second Phase</u> In mid-April and in the beginning of May, the Länder FG and the Länder decided that the Länder would themselves define ways and rules for returning to face-to-face teaching (vertical coordination, federal government 15.04.2020). The Länder coordinated horizontally the guidelines for reintroducing face-to-face</p>

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	<p>teaching in schools and higher education institutions. These were mere guidelines that the Länder could decide to follow or deviate from (KMK, 16.04.20, 18.05.20).</p> <p>➔ Level 2 coordination</p>
PPE and facemasks	<p><u>First Phase</u> To support the Länder, hospitals and doctors, the federal government purchased facemasks and other PPE from national and international producers after vertical coordination with the Länder (federal government, 15.04.20; Federal Ministry of Health, 31.07.20).</p> <p>➔ Level 1 coordination</p> <p>The centrally procured PPE was distributed among the Länder according to a detailed fixed distribution key which was coordinated horizontally by the Länder (GMK 2020a).</p> <p>➔ Level 3 coordination</p> <p><u>Second Phase</u> No decisions.</p>
Ventilators	<p><u>First Phase</u> In March, the federal government started purchasing ventilators from national and international producers after vertical coordination with the Länder (federal government, 15.04.20; Deutscher Bundestag, 16.06.20).</p> <p>➔ Level 1 coordination (no amount, no time, no sellers)</p> <p>These were then distributed to the Länder according to a fixed distribution key which was coordinated horizontally by the Länder (GMK 2020b).</p> <p>➔ Level 3 coordination</p> <p><u>Second Phase</u> No decisions.</p>
Vaccine	<p><u>First Phase</u> No decisions.</p> <p><u>Second Phase</u> We did not find coordination outputs concerning the procurement of vaccines during our period of investigation. However, prior to the COVID-19 outbreak, the federal government and the Länder vertically coordinated that Germany should, in case of a pandemic, only buy vaccines in a joint procurement on EU level (Robert Koch Institut, 2.03.17, p. 35). Under this framework, Germany first founded a so-called “vaccine alliance” with other European countries to jointly buy vaccines (DAZ, 15.06.20). This later on turned into an EU wide effort led by the European Commission (DAZ, 21.08.20).</p> <p>➔ Level 1 coordination</p>

Measures in Switzerland

Measure	
Events and gatherings	<p><u>First Phase (End February – 27 April)</u> Vertical Coordination: On 28 February, the federal government prohibited public and private events with more than 1000 participants (Federal Council, 28.02.20). Prior to the federal government’s decision, and in line with the legal requirement at the time, the cantons were consulted (Aargauer Zeitung, 1.03.20).</p> <p>➔ Level 3 coordination</p>

	<p>All following decisions on events and gatherings (reducing the number of people allowed, banning them altogether) were taken by the federal government alone. This was possible because once the federal government had proclaimed an 'extraordinary situation'; during which it was not required to consult the cantons (Federal Council, 13.03.20, 17.03.20).</p> <p>➔ Level 0 coordination</p> <p><u>Second Phase (27 April – End July)</u></p> <p>During the second phase, non-coordination prevailed in all decisions regarding events and gatherings. First, the federal government decided to successively allow gatherings and events in bigger groups (Federal Council, 27.05.20). Once the 'extraordinary situation' ended, the cantons could allow or ban events and gatherings. They did so without coordination with the federal government or the other cantons.</p> <p>➔ Level 0 coordination</p>
Restaurants and shops	<p><u>First Phase</u></p> <p>The decisions to close restaurants and certain (non-essential) shops was taken unilaterally by the federal government (Federal Council, 13.03.20, 17.03.20).</p> <p>➔ Level 0 coordination</p> <p><u>Second Phase</u></p> <p>Similarly, the decision when and under which circumstances to open restaurants and shops was also taken unilaterally by the federal government (Federal Council, 16.04.20, 19.04.20, 27.05.20). Further regulations were decided on by the cantons. Neither of the governments coordinated their decisions with the other governments.</p> <p>➔ Level 0 coordination</p>
Schools and higher education institutions	<p><u>First Phase</u></p> <p>Decisions on abolishing face-to-face teaching in schools and universities was taken by the federal government (Federal Council, 13.03.20).</p> <p>➔ Level 0 coordination</p> <p><u>Second Phase</u></p> <p>Non-coordination: Similarly, the decision to re-allow face-to-face teaching was also taken by the federal government. The cantons were responsible for regulation on when and how students were to return to school and universities (Federal Council, 29 April 2020). Both levels of government took their decisions without coordinating with each other (SRF, 1.05.20).</p> <p>➔ Level 0 coordination</p>
PPE and facemasks	<p><u>First Phase</u></p> <p>Despite the strong role of the federal government in purchasing facemasks (In the beginning, the cantons and hospitals could also buy facemasks. The federal government ruled this out in early April and only allowed central procurement. It did not coordinate this decision with the cantons.), in vertical coordination with the cantons, the number of facemasks to be purchased was determined, however (VBS, 6.04.20). Moreover, the federal government and the cantons consulted on how to distribute the masks in the federal government stores (SRF, 15.07.20). Furthermore, there were instances in which the federal level and a canton worked together to finance and set up a domestic industry producing facemasks (Zurich, 22.05.20).</p> <p>➔ Level 3 coordination</p> <p><u>Second Phase</u></p> <p>No decisions.</p>

Ventilators	<p><u>First Phase</u> Despite the federal government deciding to buy ventilators without coordination, the amount distributed to the cantons as well as the distribution itself was coordinated vertically (NZZ, 29.03.20; VBS, 4.04.20). ➔ Level 3 coordination</p> <p><u>Second Phase</u> No decisions.</p>
Vaccine	<p><u>First Phase</u> No decisions</p> <p><u>Second Phase</u> The federal government is actively engaged in securing reservations for vaccines, once they are available (NZZ 24.05.20). We did not find any evidence of coordination. ➔ Level 0 coordination</p>

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